

02/28/02

11000 S. PTO

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. GGP2CUSA  
 First Inventor Gideon Goldstein  
 Title Methods and Compositions for Impairing Multiplication of HIV  
 Express Mail Label No. ET033626870US

PTO/SB/05 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032  
 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
*(Submits an original and a duplicate for fee processing)*
2. ☒ Applicant claims small entity status.  
 See 37 CFR 1.27.
3. ☒ Specification [Total Pages 124]  
*(see-lined arrangement set forth below)*  
 - Descriptive title of the invention  
 - Cross Reference to Related Applications  
 - Statement Regarding Fed sponsored R & D  
 - Reference to sequence listing, a table, or a computer program listing appendix  
 - Background of the Invention  
 - Brief Summary of the invention  
 - Detailed Description  
 - Claim(s)  
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 4]
5. Oath or Declaration [Total Pages 128]  
 a. ☐ Newly executed (original or copy)  
 b. ☒ Copy from a prior application (37 CFR 1.63 (d))  
*(for continuation/divisional with Box 18 completed)*  
 i. ☐ **DELETION OF INVENTOR(S)**  
*Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).*
6. ☐ Application Data Sheet See 37 CFR 1.76

## ADDRESS TO:

Assistant Commissioner for Patents  
 Box Patent Application  
 Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)  
 8. Nucleotide and/or Amino Acid Sequence Submission  
*(if applicable, all necessary)*  
 a. ☐ Computer Readable Form (CRF)  
 b. Specification Sequence Listing on:  
 i. ☐ CD-ROM or CD-R (2 copies); or  
 ii. ☒ paper  
 c. ☒ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))  
 37 CFR 3.73(b) Statement of Attorney  
 10. ☐ English Translation Document (if applicable)  
 11. ☐ Information Disclosure Statement (IDS)/PTO-1449  
 12. ☒ Preliminary Amendment  
 13. ☒ Return Receipt Postcard (MPEP 503)  
*(Should be specifically itemized)*  
 14. ☐ Certified Copy of Priority Document(s)  
*(if foreign priority is claimed)*  
 15. ☐ Nonpublication Request under 35 U.S.C. 122  
 16. ☐ (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent  
 17. ☒ Other Assignee information attached

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP)

of prior application No.: 09, 451,067

Prior application information:

Examiner: J. Parkin

Group Art Unit: 1648

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been submitted from the submitted application parts.

## 19. CURRENT RESIDENCE ADDRESS



Customer Number or Bar Code Label

or

☐ Correspondence address below

Name Mary E. Bak, Esquire  
 Howson and Howson  
 Address Spring House Corporate Center, Box 457  
 City Spring House State PA Zip Code 19477  
 Country USA Telephone (215) 540-9200 Fax (215) 540-5818

Name (Print/Type) Mary E. Bak, Esquire Registration No. (Attorney/Agent) 31,215  
 Signature [Signature] Date 2-28-02

Burden Hour Statement: This form is estimated to take 92 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.



PTO/SB/17 (10-01)

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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$)

370.00

**Complete if Known**

Application Number	
Filing Date	02/28/2002
First Named Inventor	Gideon Goldstein
Examiner Name	J. Parkin
Group Art Unit	1648
Attorney Docket No.	GGP2CUSA

**METHOD OF PAYMENT**

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: 08-3040  
 Deposit Account Name: Howson and Howson

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

- ☒ Applicant claims small entity status. See 37 CFR 1.17

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity	Small Entity	Fee Description	Fee Paid
Code (\$)	Code (\$)		
101 740 201 370		Utility filing fee	370.00
106 330 206 165		Design filing fee	
107 510 207 255		Plant filing fee	
108 740 208 370		Reissue filing fee	
114 160 214 80		Provisional filing fee	

SUBTOTAL (1) (\$)

370.00

**2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
10	-20** = 0	9.00	0.00
1	-3** = 0	42.00	0.00
Multiple Dependent		140.00	0.00

Large Entity	Small Entity	Fee Description
Code (\$)	Code (\$)	

103 18 203 9	Claims in excess of 20
102 84 202 42	Independent claims in excess of 3
104 280 204 140	Multiple dependent claim, if not paid
109 84 209 42	** Reissue independent claims over original patent
110 18 210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

0.00

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)**

Large Entity	Small Entity	Fee Description	Fee Paid
Code (\$)	Code (\$)		
105 130 205 65		Surcharge - late filing fee or oath	
127 50 227 25		Surcharge - late provisional filing fee or cover sheet	
139 130 139 130		Non-English specification	
147 2,520 147 2,520		For filing a request for <i>ex parte</i> reexamination	
112 920* 112 920*		Requesting publication of SIR prior to Examiner action	
113 1,840* 113 1,840*		Requesting publication of SIR after Examiner action	
115 110 215 55		Extension for reply within first month	
116 400 216 200		Extension for reply within second month	
117 920 217 460		Extension for reply within third month	
118 1,440 218 720		Extension for reply within fourth month	
128 1,960 228 980		Extension for reply within fifth month	
119 320 219 160		Notice of Appeal	
120 320 220 160		Filing a brief in support of an appeal	
121 280 221 140		Request for oral hearing	
138 1,510 138 1,510		Petition to institute a public use proceeding	
140 110 240 55		Petition to revive - unavoidable	
141 1,280 241 640		Petition to revive - unintentional	
142 1,280 242 640		Utility issue fee (or reissue)	
143 460 243 230		Design issue fee	
144 620 244 310		Plant issue fee	
122 130 122 130		Petitions to the Commissioner	
123 50 123 50		Processing fee under 37 CFR 1.17(q)	
126 180 126 180		Submission of Information Disclosure Stmt	
581 40 581 40		Recording each patent assignment per property (times number of properties)	
146 740 246 370		Filing a submission after final rejection (37 CFR § 1.129(s))	
149 740 249 370		For each additional invention to be examined (37 CFR § 1.129(b))	
179 740 279 370		Request for Continued Examination (RCE)	
169 900 169 900		Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

**SUBMITTED BY**

Name (Print/Type) Mary E. Bak, Esquire

Registration No. (Attorney/Agent)

31,215

**Complete (if applicable)**

Telephone (215) 540-9200

Signature

Mary E. Bak

Date

2-28-02

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Express Mail No. ET033626870US

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PATENT TRADEMARK OFFICE  
GGP2CUSA

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of ) Group Art Unit: 1648  
)  
Gideon Goldstein ) Examiner: J. Parkin  
)  
Appln. No. )  
)  
Filed: Herewith )  
)  
For: METHODS AND COMPOSITIONS FOR ) February 28, 2002  
IMPAIRING MULTIPLICATION OF )  
HIV-1 )

Assistant Commissioner for Patents  
U. S. Patent and Trademark Office  
Box Sequence  
Washington, DC 20231

**LETTER REQUESTING TRANSFER OF COMPUTER READABLE FORM  
UNDER 37 CFR §1.821(e)  
AND  
STATEMENT TO SUPPORT FILING AND SUBMISSION IN ACCORDANCE  
WITH 37 CFR §1.821 THROUGH §1.825**

Sir:

In accordance with 37 CFR §1.821(e), please use the last-filed computer readable form of the Sequence Listing filed in U. S. Patent Application No. 09/451,067 on November 30, 1999 as the computer readable form for the instant application. The computer readable form of the Sequence Listing in U. S. Patent Application No. 09/451,067 had been transferred from grandparent U. S. Patent Application No. 09/113,921, now U. S. Patent No. 6,193,981. The computer readable form of the Sequence Listing in U. S. Patent Application No. 09/113,921 was provided on July 10, 1998 and was in full compliance with all of the requirements under 37 CFR §1.821(e).

Express Mail No ET033626870US

I hereby state, in accordance with the requirements of 37 CFR §1.821(f) and to the best of my knowledge and belief, the paper copy of the Sequence Listing in the above-identified patent application, filed herewith, is identical to the computer readable copy of the Sequence Listing filed in U. S. Patent Application No. 09/451,067, filed on November 30, 1999. No new matter has been added.

It is understood that the U. S. Patent and Trademark Office will make the necessary change in application number and filing date for the instant application. A paper copy of the Sequence Listing is included in the specification of the instant application.

Respectfully submitted,

HOWSON AND HOWSON  
Attorneys for the Applicants

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